

SCHEDULE 1
ADMINISTRATIVE RECORDS

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ADMINISTRATIVE RECORDS

ACKNOWLEDGMENT FILES

(Item 1-1)

Acknowledgment records, transmittal of inquiries, and requests that have been referred elsewhere for reply.

RETENTION

Record copy: Retain for 3 months after acknowledgment and/or referral and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1995)

(Approved 07/90)

ACTIVITY REPORTS

(Item 1-48)

Reports documenting work productivity of employees or an office. Includes weekly activity or production reports, monthly activity reports, etc.

RETENTION

Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ADMINISTRATIVE HEARING TRANSCRIPTS (Item 1-2)

Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

ADMINISTRATIVE POLICY AND PROGRAM RECORDS (Item 1-24)

Records created by agency administration to document the research, creation and application of agency programs, policies and procedures. May include correspondence, policy and program case files, and executive files documenting leadership roles and decision making processes.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 01/04)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ADMINISTRATIVE REFERENCE/READING FILES (Item 1-3)

Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.

RETENTION

Record copy: Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

ADMINISTRATIVE RULE RECORDS (Item 1-42)

Also known as the administrative record. Information an agency relies upon when making a rule under UCA 63-45a-1 et seq. (1996), including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rulemaking decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.

RETENTION

Record copy: Retain by Agency for 5 years after effective date and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 1
ADMINISTRATIVE RECORDS

AGENCY WRITTEN HISTORIES

(Item 1-4)

Records which document an agency's written history. Includes scrapbooks, photographs, articles, program notes and information about events and programs sponsored or funded by an agency. May also include narrative audio and audiovisual agency histories.

RETENTION

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

AMERICANS WITH DISABILITIES ACT REQUESTS FOR ACCOMMODATIONS

(Item 1-49)

Requests received from the public for disability accommodations for state sponsored events. Information includes the requests for accommodations and the agency's response including accommodations made and other related documentation. For accommodation requests received from employees refer to Human Resource Section, ADA requests for accommodations-employees.

RETENTION

Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302(1)(b)(2000).

(Approved 10/01)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ATTORNEYS GENERAL OPINIONS (Item 1-5)

Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.

RETENTION

Record copy: Permanent. Retain by the Office of the Attorney General for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COMMITTEE AND CONFERENCE FILES (Item 1-6)

Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1 ADMINISTRATIVE RECORDS

CONFERENCE FILES

(Item 1-50)

Records created by an agency sponsoring a conference, workshop, or seminar. May also include records maintained by an agency representing the State at a conference. Information may include copies of conference agenda, reports, advertising information for the conference, speeches, and related material.

RETENTION

Permanent. Retain by agency. May be transferred to State Archives with authority to weed. Retain by agency. May be transferred to State Archives with authority to weed.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

DAILY ACTIVITY SCHEDULES

(Item 1-7)

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. See also Executive Calendars or Routine Activity Calendars.

RETENTION

Permanent. Retain by agency. May be transferred to State Archives with authority to weed. Retain by agency. May be transferred to State Archives with authority to weed.

(Approved 12/92)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ELECTRONIC PUBLICATIONS (Item 1-44)

Electronic versions of printed publications if unique data are included, as well as information and documents published via the Internet or State Bulletin Board System.

RETENTION

Record copy: Permanent. Retain by agency until publication and as substantial updates are made and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until updated and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 04/96)

ELECTRONIC PUBLICATIONS WORKING FILES (Item 1-45)

Drafts of electronic publications published via Internet or State Bulletin Board System, which may include design concepts, artwork or photos, working documents of HTML text, and technical reference information.

RETENTION

Record copy: Retain for 1 year after publication or placing the material online and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 04/96)

SCHEDULE 1
ADMINISTRATIVE RECORDS

EXECUTIVE CALENDARS

(Item 1-8)

Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees. See Daily Activity Schedules.

RETENTION

Duplicate copies: Retain until administrative need ends and then destroy.

(Approved 12/92)

FINDING AIDS

(Item 1-11)

Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.

RETENTION

Record copy: Retain until records to which they pertain are destroyed or destroy when no longer needed for reference.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

FORMS DEVELOPMENT FILES (Item 1-12)

Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.

RETENTION

Record copy: Retain until form is discontinued, superseded, or canceled and then destroy.
Duplicate copies: Retain until form is discontinued and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

FORMS FILES (Item 1-13)

A clean copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.

RETENTION

Record copy: Retain for 1 month after form is discontinued, superseded or cancelled and then destroy.
Duplicate copies: Retain until form is discontinued and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

GOVERNMENT RECORDS ACCESS AND MANAGEMENT ACT (GRAMA) ACCESS REQUESTS (Item 1-36)

Files created in response to requests from individuals seeking access to government records, as provided under UCA 63-2-204 (1996). Files contain the request, copies of Records Officer response granting or denying access to records requested, and all related supporting documents. These files may also contain agency responses to requests for nonexistent records, to requesters who provide inadequate descriptions, and requests which should be directed to another agency.

RETENTION

Record copy: Retain by agency for 2 years after final agency action and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

GOVERNMENT RECORDS ACCESS AND MANAGEMENT ACT (GRAMA) APPEAL CASE FILES (Item 1-)

Case files that contain information on Government Records Access and Management Act (GRAMA) access appeals to the designated Records Officer, Chief Administrative Officer, State Records Committee, and the District court. They contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the appeal process.

RETENTION

Record copy: Retain by agency for 10 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

SCHEDULE 1
ADMINISTRATIVE RECORDS

GOVERNMENT RECORDS ACCESS AND MANAGEMENT ACT REQUESTS TO AMEND RECORDS FILES (Item 1)

Files relating to requests to amend records containing information on individuals as provided by UCA 63-2-603 (1996). Includes the individual's request to amend and/or review, agency approval or denial of the request, statements of disagreement, agency justification for refusal to amend a record, subsequent appeals of the agency's decision, and related materials.

RETENTION

Record copy: Retain by agency for 4 years after agreement to amend, provided the requester's statement is filed with the disputed record in the event the request is denied. and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

INCOMING DOCUMENT LOG (Item 1-15)

Records which provide detailed information on incoming documents that require distribution or action.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

INTERNAL COMMITTEE AND CONFERENCE FILES (Item 1-17)

Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.

RETENTION

Record copy: Retain for 2 years after termination of committee and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MAILING LISTS (Item 1-46)

Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.

RETENTION

Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 08/96)

MANAGEMENT IMPROVEMENT REPORTS (Item 1-18)

Reports on analysis and implementation of programs and operation of those programs.

RETENTION

Permanent. Retain by agency. May be transferred to the State Archives with authority to weed. Retain by agency. May be transferred to the State Archives with authority to weed.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 1
ADMINISTRATIVE RECORDS

MEETING MINUTE TAPE RECORDINGS (Item 1-41)

Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings. If minutes of these meetings are summarized, the recordings are permanent under Schedule 1 Items 2 and 6.

RETENTION

Record copy: Retain by agency for 1 year after approval of official minutes or transcript and then destroy provided no litigation is pending or anticipated. and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public: UCA 63-2-301 (1995).

(Approved 10/01)

MINUTES (Item 1-51)

Minutes of open and closed committee and board meetings as required by UCA 52-4-7.5(2000) et seq. May include agenda, meeting minutes, transcripts, and other supporting documentation.

RETENTION

Permanent. Retain by agency. May be transferred to the State Archives with authority to weed. Retain by agency. May be transferred to the State Archives with authority to weed.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Protected: UCA 63-2-304(32)(2000); UCA 52-4-7.5(2)(b)(i)(2000)

(Approved 10/01)

SCHEDULE 1
ADMINISTRATIVE RECORDS

ORGANIZATIONAL FILES

(Item 1-19)

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

ORGANIZATIONAL FUNCTION STATEMENTS

(Item 1-20)

Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above. If the functional statements are printed in the Utah State Administrative Code, they are not required to be preserved or retained as a separate series.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

PENDING FILES

(Item 1-21)

Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

RETENTION

Record copy: Retain until incorporated into official file when reply is received or action taken and retain in conjunction with that record series.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PERFORMANCE AUDIT

(Item 1-22)

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agency programs, operations and productivity.

RETENTION

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

POLICIES AND PROCEDURES MANUALS (Item 1-23)

Policies and procedures that govern the operation and administration of various programs within the organization.

RETENTION

Record copy: Permanent. Retain by agency until superseded and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

POLICY AND PROGRAM CORRESPONDENCE (Item 1-9)

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

RETENTION

Record copy: Permanent. Retain by agency until administrative need ends and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SCHEDULE 1
ADMINISTRATIVE RECORDS

PROPOSED LEGISLATION RECORDS

(Item 1-40)

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to the State Archives with authority to weed.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Protected: UCA 63-2-304 (19) (1996)

(Approved 12/92)

PUBLICATIONS

(Item 1-25)

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical. If unique, see Schedule 1 Item 44.

RETENTION

Record copy: Permanent. Creating agency shall transfer one copy to State Archives when published.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

RECORDS TRANSFER AND DISPOSITION FILES (Item 1-38)

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs. May also contain documentation of records maintained and destroyed by the State Archives.

RETENTION

Record copy: Retain by agency for 10 years after destruction of the material.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

RECORDS TRANSFER SHEETS (RTS) (Item 1-26)

Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and records center box location.

RETENTION

Record copy: Retain by agency for 5 years after records are destroyed and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1 ADMINISTRATIVE RECORDS

RECORDS MANAGEMENT FILES (Item 1-37)

Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

RETENTION

Record copy: Retain by agency until updated or superseded and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

TECHNICAL REFERENCE FILES (Item 1-29)

These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

RETENTION

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 1
ADMINISTRATIVE RECORDS

TECHNOLOGY FEASIBILITY STUDIES (Item 1-10)

Studies conducted before the installation of any technology or equipment. Includes studies and systems analyses for the initial establishment and major changes of these systems.

RETENTION

Record copy: Permanent. Retain by agency 2 years then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (21) (1992).

(Approved 10/01)

TRANSITORY CORRESPONDENCE (Item 1-47)

Business-related correspondence that is routine or transitory in nature and does not offer unique information about agency functions or programs. These records include acknowledgment files and most day-to-day office and housekeeping correspondence. These records may originate on paper, electronic mail, or other media. This correspondence filed separately from program and project case files.

RETENTION

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (21) (1992).

SCHEDULE 1
ADMINISTRATIVE RECORDS

TRANSITORY FILES

(Item 1-30)

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers. May include electronic mail if it contains the above.

RETENTION

Record copy: Retain by agency for 3 months or until administrative need ends and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

VISITOR REGISTRATION RECORDS

(Item 1-52)

Records used to establish visitation to agencies, usage of materials, and other information about the public's contact with government. Information may include names, home city and state, number in party, and purpose of visit.

RETENTION

Retain by AGENCY for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 01/02)

SCHEDULE 1
ADMINISTRATIVE RECORDS

WORD PROCESSING FILES (Item 1-32)

Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes and used to produce a hard copy which is then maintained in organized files.

RETENTION

Record copy: Retain by agency until hard copy is filed and administrative need ends and then delete.

Duplicate copies: Retain until administrative need ends and then delete.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

WORKING PAPERS (Item 1-33)

Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyses, notes, interim reports regarding a particular case file, and financial performance audits.

RETENTION

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

SCHEDULE 2
BUDGETING RECORDS

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BUDGETING RECORDS

ANNUAL BUDGET REPORTS (Item 2-2)

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

RETENTION

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

BLOCK GRANT MONTHLY REPORTS (Item 2-3)

Monthly reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 2
BUDGETING RECORDS

BLOCK GRANT YEARLY REPORTS (Item 2-4)

Annual reports on grants received by State agencies from the Federal Government, which may contain applications, notice of award, program reports, and correspondence.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

BUDGET APPORTIONMENT FILES (Item 2-5)

Apportionment and reapportionment schedules, proposing monthly obligations under each authorized appropriation.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 10/01)

SCHEDULE 2 BUDGETING RECORDS

BUDGET BACKGROUND RECORDS (Item 2-6)

Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work programs, etc.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

BUDGET ESTIMATES AND JUSTIFICATION FILES (Item 2-7)

Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992).

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 10/01)

SCHEDULE 2
BUDGETING RECORDS

BUDGET POLICY FILES

(Item 2-8)

Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

RETENTION

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

GRANT CASE FILES

(Item 2-9)

Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets. Specific grant case files may have additional retention requirements, please contact the State Archives to schedule a specific retention.

RETENTION

Record copy: Retain by agency for 3 years after grant has expired and then destroy.

Duplicate copies: Retain for 1 year after grant has expired and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 2
BUDGETING RECORDS

GRANT CONTROL FILES (Item 2-10)

Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PERIODIC BUDGET REPORTS (Item 2-11)

Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.

RETENTION

Record copy: Retain by agency for 3 years after the close of the fiscal year and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 2
BUDGETING RECORDS

UNSUCCESSFUL GRANT APPLICATION FILES (Item 2-12)

Rejected or withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal.

RETENTION

Record copy: Retain for 3 years after rejection or withdrawal and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 3
CARTOGRAPHIC RECORDS

SCHEDULE 3
CARTOGRAPHIC RECORDS

CARTOGRAPHIC RECORDS

(Item 3-1)

Cartographic records include maps (printed, automated, and microfilmed, aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Utah and should be scheduled as part of an agency-specific schedule.

RETENTION

Duplicate copies: Retain until administrative need ends and then destroy.

(Approved 07/90)

SCHEDULE 4
COMMUNICATIONS RECORDS

SCHEDULE 4 COMMUNICATIONS RECORDS

MAIL CONTROL RECORDS

(Item 4-1)

Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

STATE MAIL AND DELIVERY SERVICE RECEIPTS

(Item 4-3)

Records of receipts for mail and packages received through the state mail system.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 4
COMMUNICATIONS RECORDS

TELECOMMUNICATIONS REFERENCE VOUCHER AND BILLING RECORDS (Item 4-4)

Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.

RETENTION

Record copy: Retain by Information Technology Services for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

TELECOMMUNICATIONS SERVICE AGREEMENTS (Item 4-5)

Copies of agreements with background data and other records relating to agreements for telecommunications services.

RETENTION

Record copy: Retain by Information Technology Services for 4 years after expiration or cancellation of agreement and then destroy.

Duplicate copies: Retain by agency for 2 years after expiration or cancellation of agreement and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 4
COMMUNICATIONS RECORDS

TELECOMMUNICATIONS SERVICE RECORDS (Item 4-6)

Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.

RETENTION

Record copy: Retain by Information Technology Services for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

TELECOMMUNICATIONS STATISTICAL REPORTS (Item 4-7)

Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.

RETENTION

Record copy: Retain for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

TELEPHONE MESSAGE REGISTERS (Item 4-8)

Message registers, logs, performance reports, daily load reports, and related or similar records.

RETENTION

Record copy: Retain for 6 months and then destroy.

Duplicate copies: Retain for 2 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 4
COMMUNICATIONS RECORDS

TELEPHONE MESSAGES (Item 4-9)
Incoming and outgoing telephone messages.

RETENTION

Record copy: Retain for 2 months and then destroy.

Duplicate copies: Retain for 1 month and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

SCHEDULE 5
DATA PROCESSING RECORDS

ACTIVITY MONITORING RECORDS (Item 5-1)
Records which monitor the activities of a data processing system.
Information includes console logs, physical, and on-line access.

RETENTION

Record copy: Retain by agency until administrative
need ends and then destroy.

Duplicate copies: Retain by agency until administrative
need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

BATCH/DATA ENTRY CONTROL FORMS (Item 5-2)
Information on all batch or data entry records received by the
mainframe.

RETENTION

Record copy: Retain by Information Technology Services
or the appropriate agency for 3 years and
then destroy.

Duplicate copies: Retain by agency for 1 year and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

COMPUTER HARDWARE MAINTENANCE RECORDS (Item 5-3)

Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also include service/maintenance agreements.

RETENTION

Record copy: Retain by Information Technology Services or the appropriate agency for 1 year after disposal of equipment and then destroy.

Duplicate copies: Retain until the equipment is sold or disposed of and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COMPUTER JOB SCHEDULES AND REPORTS (Item 5-4)

Schedules or similar records showing computer jobs to be run, and other reports by computer operators or programmers of work performed.

RETENTION

Record copy: Retain until administrative need ends and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

COMPUTER UTILIZATION AND BILLING REPORTS (Item 5-6)

Records showing computer use by each agency and any charges for space or time.

RETENTION

Record copy: Retain by Information Technology Services
for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COMPUTER-PRODUCED OUTPUT (Item 5-5)

Machine-produced reports showing transactions that were accepted, rejected, suspended, or processed.

RETENTION

Record copy: Retain by agency for 2 years and then
destroy.

Duplicate copies: Retain by agency for 1 year and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5 DATA PROCESSING RECORDS

DATA PROCESSING PLANNING RECORDS (Item 5-7)

Records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, system or subsystem specifications, user requirements and specifications, and memoranda and correspondence. May also include studies, analyses, and short-range plans.

RETENTION

Record copy: Permanent. Retain by the Governor's Office of Planning and Budget for 10 years.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

DATA DOCUMENTATION FOR NON-PERMANENT DATABASES (Item 5-15)

Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. This documentation only includes that of databases whose information is not considered permanent or otherwise significant.

RETENTION

Record copy: Retain until superseded or deletion of the database and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/96)

SCHEDULE 5
DATA PROCESSING RECORDS

DATA DOCUMENTATION FOR PERMANENT DATABASES

(Item 5-13)

Records generally created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. This documentation only includes that of data bases whose information is considered permanent or otherwise significant.

RETENTION

Record copy: Permanent. Retain by agency 3 years after discontinuance of system or application, and transfer to State Archives with authority to weed. and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/96)

PROGRAM SOURCE CODE

(Item 5-11)

Automated program code which generates the machine-language instructions used to operate an automated information system.

RETENTION

Record copy: Retain by agency for 3 years after the program is discontinued and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5 DATA PROCESSING RECORDS

PROGRAM TECHNICAL DOCUMENTATION (Item 5-12)

Paper copy of program code, flowcharts, maintenance log, system change notices, and other records that document modifications to computer programs. These records are maintained for reference, as backup, to insure adequacy of change documentation, or to rectify errors in program implementation after related programs are replaced, modified, or cease to be used.

RETENTION

Record copy: Retain for 1 year after related programs cease to be used and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 08/96)

SYSTEM DOCUMENTATION FOR PERMANENT DATABASES (Item 5-8)

User and operational documentation describing how an application system operates from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is considered permanent or otherwise significant.

RETENTION

Record copy: Permanent. Retain by agency 5 years.

Duplicate copies: Retain until program is discontinued and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 5
DATA PROCESSING RECORDS

SYSTEM DOCUMENTATION FOR NON-PERMANENT DATABASES

(Item 5-14)

User and operational documentation describing how an application system operates from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. This documentation only includes that of databases whose information is not considered permanent or otherwise significant.

RETENTION

Record copy: Retain until superseded or until deletion of database and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/96)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

AMERICANS WITH DISABILITIES ACT (ADA) FILES (Item 6-12)

Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.

RETENTION

Record copy: Retain by agency for 15 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

APPRAISAL FILES (Item 6-1)

Files including location, description, value, and photographs of property.

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

AS-BUILT CONSTRUCTION PLANS AND SPECIFICATIONS (Item 6-2)

Final plans and specifications for approved and constructed state buildings.

RETENTION

Record copy: Permanent. Retain until microfilmed and then transfer copy of microfilm to State Archives with authority to weed.

Duplicate copies: Retain for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

BUILDING AND EQUIPMENT SERVICE FILES (Item 6-3)

Requests for building and equipment maintenance services, excluding fiscal copies.

RETENTION

Record copy: Retain by Facilities Construction Management for 3 years after fiscal year ends and then destroy.

Duplicate copies: Retain by agency for 3 months after work is performed or requisition cancelled and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

CONSTRUCTION PLANS IN-REVIEW (Item 6-5)

Preliminary designs and specifications prepared by architectural firms for review by state agency.

RETENTION

Record copy: Retain for 1 year after approval or rejection of final plans and then destroy.

Duplicate copies: Retain until construction phase begins and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CONSTRUCTION PROJECT CASE FILES (Item 6-6)

Case files documenting the construction of new buildings and the renovation of rented buildings for state use.

RETENTION

Record copy: Permanent. Retain until microfilmed and then transfer copy of microfilm to State Archives with authority to weed.

Duplicate copies: Retain for 6 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

FACILITIES MANAGEMENT GUIDELINES (Item 6-7)

Information pertaining to handicapped access, historic preservation, energy conservation, environmental protection, and planning.

RETENTION

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

MAINTENANCE WORK ORDERS (Item 6-8)

Requests from agencies for repair of building equipment, minor construction, or painting.

RETENTION

Record copy: Retain by Facilities Construction Management for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

NATURAL DISASTER AND DAMAGE SURVEY OF PUBLIC BUILDINGS (Item 6-9)

Survey and analysis of damage done to public buildings during natural disasters.

RETENTION

Record copy: Permanent. Retain by Facilities Construction Management for 10 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SPACE UTILIZATION REPORTS (Item 6-10)

Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 6
FACILITY MANAGEMENT RECORDS

UNDER-CONSTRUCTION PLANS AND SPECIFICATIONS (Item 6-11)

Specifications used by contractors and architects as guidelines to construct previously designed buildings.

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

SCHEDULE 7
FINANCIAL RECORDS

ACCOUNTING ADMINISTRATIVE FILES (Item 7-1)

Correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

ACCOUNTS RECEIVABLE INVOICES (Item 7-2)

Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

AMERICAN EXPRESS MONITORING REPORT (Item 7-5)

Report generated by American Express showing expenditures made by state employees on agency American Express Cards.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

AUDITOR'S FINANCIAL REPORT (Item 7-7)
Report prepared by internal or external auditors as a result of a financial audit.

RETENTION
Record copy: Permanent. Retain by agency for 3 years.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

BANK DAILY TOTALS (Item 7-8)
Daily report from bank that is used for reconciliation.

RETENTION
Record copy: Retain by the State Treasurer's Office
for 1 year and then destroy.
Duplicate copies: Retain by agency for 1 year and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 12/96)

BANK STATEMENTS (Item 7-9)
Cancelled checks, debit/credit memoranda, deposit slips, and monthly reconciliations.

RETENTION
Record copy: Retain by agency for 3 years and then
destroy.
Duplicate copies: Retain by agency for 1 year and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 12/96)

SCHEDULE 7
FINANCIAL RECORDS

BOND OFFICIAL TRANSCRIPTS (Item 7-10)

Official files regarding authority to permit bond negotiations with paying agent, etc.

RETENTION

Record copy: Permanent. Retain by the State Treasurer's Office for 3 years after bond expires and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until paid or cancelled and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

BOND REGISTRATION FILES (Item 7-11)

Issuing agent's copies of bond registration stubs.

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

BONDS, NOTES AND COUPONS PAID (Item 7-12)

Coupons and notes redeemed throughout the lifetime of the bond.

RETENTION

Record copy: Retain by the State Treasurer's Office until redeemed by paying agency and then destroy.

Duplicate copies: Retain until redeemed by paying agency and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

CASH RECEIPT TRANSACTION FORM (FI-33) (Item 7-17)

Cash receipt transaction forms accompanying agency deposits to the State Treasurer's Office.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CASH RECEIPTS (Item 7-13)

Agency copy of receipts given to customers who pay cash to the agency for services rendered.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until obsolete or for 3 years, whichever is first, and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COLLECTION BONDS (Item 7-14)

Collection agency bonds are bonds filed by collection agencies in the state.

RETENTION

Record copy: Retain by agency for 7 years after bond expiration and then destroy.

Duplicate copies: Retain for 2 years after expiration and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

COST ACCOUNTING REPORTS (Item 7-15)

Reports maintained by receiving and reporting units, which document how much it costs an entity to provide a service and the fee they charge for that service.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COST REPORT DATA FILES (Item 7-16)

Ledgers and forms used to accumulate data for use in cost reports.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

EXPENDITURE ACCOUNTING GENERAL CORRESPONDENCE AND SUBJECT FILES (Item 7-1)

Correspondence or subject file maintained by operating units responsible for expenditure accounting, pertaining to their internal operations and administration.

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES (Item 7-20)

Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

RETENTION

Retain by agency for 7 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

FINANCIAL INFORMATION RESOURCES SYSTEM (FIRMS) PERIODIC REPORTS (Item 7-21)

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

RETENTION

Record copy: Retain by the Division of Finance for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

FINANCIAL INFORMATION RESOURCES SYSTEM (FIRMS) YEAR END REPORT (Item 7-22)
Yearly or period 13 edition of FIRMS reports. OBSOLETE RECORD
SERIES BY 1998.

RETENTION

Record copy: Retain by the Division of Finance for 10
years and then destroy.

Duplicate copies: Retain by agency for 5 years and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

FINANCIAL INFORMATION NETWORK (FI-NET) NON-PAYMENT RECORDS (Item 7-54)

Records that document receipt of cash or transfers between state
agencies in the state accounting system, and other relevant
information. Includes cash receipts (CR), inter-agency
transactions (IAT), and revenue (IN) transactions.

RETENTION

Record copy: Retain for 3 years after the end of the
fiscal year in which they were initiated
and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 06/96)

SCHEDULE 7
FINANCIAL RECORDS

FINANCIAL INFORMATION NETWORK (FI-NET) PAYMENT RECORDS (Item 7-53)

Records processed through the state accounting system that document the expenditure of cash and the appropriate supporting information. Includes payment invoices, purchasing records, and travel reimbursements.

RETENTION

Record copy: Retain for 7 years after the end of the fiscal year in which they were initiated and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 06/96)

FINANCIAL INFORMATION NETWORK (FI-NET) REPORTS (Item 7-55)

Reports of accounting information contained in the state accounting system, including budget, grant, payroll, revenue expense, and accounting reports; and bank reconciliations.

RETENTION

Record copy: Retain by the Division of Finance for 7 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 06/96)

SCHEDULE 7
FINANCIAL RECORDS

FREIGHT FILES

(Item 7-23)

Records relating to freight, consisting of export certificates, transit certificates, demurrage card, record books, shipping documents pertinent to freight classification, memorandum copies of government or commercial bills of lading, shortage and demurrage reports, and all supporting documents, including records relating to the shipment of household goods.

RETENTION

Record copy: Retain by agency for 3 years after the period of the account and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

FREIGHT SCHEDULES OF LOST OR DAMAGED SHIPMENTS

(Item 7-24)

Schedules of valuables shipped, correspondence, memoranda, reports and other related records.

RETENTION

Record copy: Retain by agency for 3 years after restitution is made and then destroy.

Duplicate copies: Retain until restitution is made and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

GENERAL ACCOUNTING LEDGER (Item 7-25)

General accounts ledger, showing debit and credit entries, and reflecting expenditures in summary.

RETENTION

Record copy: Retain for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

INVENTORY OF FIXED ASSETS (Item 7-27)

These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

JOURNAL ENTRY RECORDS (Item 7-52)

Entries listing adjustments to an organization's credit or debit financial statements. They contain the Division of Finance form FI-35, which lists the credit or debit adjustment, explanation of entry, and approval signature.

RETENTION

Record copy: Retain by the Division of Finance for 10 years and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

SCHEDULE 7
FINANCIAL RECORDS

NOTARY BOND FILES (Item 7-28)

Posted by notaries public conditioned for the faithful performance of duties.

RETENTION

Record copy: Retain by the Lieutenant Governor's Office for 7 years after expiration and then destroy.

Duplicate copies: Retain for 3 years after expiration and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PERFORMANCE BONDS (Item 7-30)

Bonds made payable to the state conditional to the performance of all activity requirements and state and federal law.

RETENTION

Record copy: Retain by agency for 7 years after expiration and then destroy.

Duplicate copies: Retain for 2 years after expiration and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PERSONAL SURETY BONDS (Item 7-31)

Official copies of the bond and attached powers of attorney.

RETENTION

Record copy: Retain by agency for 15 years after bond becomes inactive and then destroy.

Duplicate copies: Retain until bond becomes inactive and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

PERSONNEL ACCOUNTING ADMINISTRATIVE FILES (Item 7-32)

Files used for workload and personnel management purposes. Includes correspondence, reports and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

REFUND REQUESTS (Item 7-35)

Form signed by the customer which requests a refund of monies paid to the agency.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends, not to exceed 3 years, and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

STATE GENERAL OBLIGATION BONDS (Item 7-36)

Bonds authorized by the Legislature under the guidance of the State Bonding Committee of which the State Treasurer is a member. They represent an obligation by the State, and are supported by the full faith and credit of the State. They have terms of 5-7 years. Interest is paid semi-annually on January 1 and July 1. New issues are all book-entry bond coupons.

RETENTION

Record copy: Retain for 1 year after paid or cancelled and then destroy.

Duplicate copies: Retain for 1 year after paid or cancelled and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

STATE REVENUE BONDS (Item 7-37)

Files which document the obligations of the State support by a specific revenue source. They are generally terms of 3-20 years. The most common are State Revenue Bonds which include leases and rentals. They have interest paid semi-annually.

RETENTION

Record copy: Retain for 1 year after paid or cancelled and then destroy.

Duplicate copies: Retain for 1 year after paid or cancelled and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/96)

SCHEDULE 7
FINANCIAL RECORDS

STORES ACCOUNTING FILES (Item 7-38)

Files used for the acquisition of items purchased through the Division of Central Stores. Information includes accounting records and returned items form.

RETENTION

Record copy: Retain by the Division of Central Stores for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

STORES ACCOUNTING WORK PAPERS (Item 7-39)

Work papers used in accumulating stores accounting data.

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

STORES INVOICE FILES (Item 7-40)

Invoice or equivalent records used for stores accounting purposes.

RETENTION

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

TAX AND REVENUE ANTICIPATION NOTES (Item 7-41)

Short-term notes which are revenue supported. They are issued by the State Treasurer for a term of less than 1 year.

RETENTION

Record copy: Retain for 1 year after paid or cancelled and then destroy.

Duplicate copies: Retain for 1 year after paid or cancelled and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/96)

TELEPHONE BILLS (Item 7-43)

Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

TRAVEL AND TRANSPORTATION FILES (Item 7-44)

Correspondence, forms, and relating records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

VENDOR PAYMENT VOUCHERS - CANCELED (Item 7-50)

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network (FI-NET) accounts.

RETENTION

Record copy: Retain for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

WARRANT REQUESTS USED IN THE PURCHASE OF REAL PROPERTY (Item 7-51)
Documentation of the purchase of real estate by a government agency.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

WARRANT/CHECK (Item 7-47)
Actual warrant or check cut from warrant request to pay for services rendered.

RETENTION

Record copy: Retain until redeemed and imaged by the bank. Maintain imaged copy by the Division of Finance for 7 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

SCHEDULE 7
FINANCIAL RECORDS

WARRANT/CHECK - LOST

(Item 7-48)

Legal documentation explaining and justifying a lost warrant, so that a new one can be issued.

RETENTION

Record copy: Retain by the Division of Finance for 7 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992)

(Approved 07/90)

SCHEDULE 8
HIGHER EDUCATION

SCHEDULE 8
HIGHER EDUCATION

ACADEMIC RECORD FILES (Item 8-1)

Files containing official documentation listing student's courses, grades, credits earned, and status achieved. Often referred to as a transcript.

RETENTION

Record copy: Permanent. Retain by registrar for 10 years after graduation or withdrawal and then transfer to State Archives or the respective institution's archives.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

CASH REGISTER TAPES FOR STUDENT TRANSCRIPTS (Item 8-2)

Daily cash register tapes noting monies received for transcripts of the students' permanent academic record.

RETENTION

Record copy: Retain for 1 year and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 8
HIGHER EDUCATION

DEPARTMENT LISTS REQUESTING STUDENT TRANSCRIPTS (Item 8-3)

Lists of requested students' transcripts of permanent academic record for use in the academic departments of the institutions of higher education.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

GRADUATION FILES (Item 8-4)

Files which document the fulfillment of qualifications necessary to graduate from one of Utah's institutions of higher education.

RETENTION

Retain for 1 year and then destroy and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

IDENTIFICATION CARD APPLICATIONS FOR MATRICULATED STUDENTS (Item 8-5)

Applications for identification (I.D.) cards for students, faculty, and staff.

RETENTION

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 8
HIGHER EDUCATION

IDENTIFICATION CARD APPLICATIONS FOR NON-MATRICULATED STUDENTS (Item 8-6)

Applications for identification cards for non-matriculated individuals participating in activities sponsored by an institution of higher education.

RETENTION

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

IDENTIFICATION CARD RECEIPT BOOKS (Item 8-7)

Receipt books for monies received in payment for identification (I.D.) cards.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

INTERNATIONAL IDENTIFICATION CARD APPLICATIONS (Item 8-8)

Applications for identification cards for students traveling out of the country in order to receive international student benefits.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 8
HIGHER EDUCATION

MONTHLY RECEIPTS FOR MONIES RECEIVED FOR TRANSCRIPTS

(Item 8-9)

Cash register tapes collected monthly noting monies received by the sale of copies of students' transcripts.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

REGISTRATION FILES

(Item 8-10)

Files which document student enrollment, registration, and participation in course work and other academic activities at any of Utah's institutions of higher education.

RETENTION

Record copy: Retain by agency for 5 years after graduation or withdrawal and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 8
HIGHER EDUCATION

STUDENT CUMULATIVE FILES (Item 8-11)
Files which document a student's activities, other than academic, while enrolled in one of Utah's institutions of higher education.

RETENTION

Record copy: Retain by agency for 5 years after graduation or withdrawal and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

TRANSCRIPT REQUESTS (Item 8-12)
Request form for a transcript of student's permanent academic records and the record of payment received for the copy.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

VISITING SCHOLARS INFORMATION FILES (Item 8-13)
Files containing identifying information on scholars temporarily working at an institution of higher education.

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS R

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

AUTOMOBILE TITLES (Item 9-1)

Records which prove state ownership of the vehicle.

RETENTION

Record copy: Retain until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until vehicle is sold and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CERTIFICATES OF MILEAGE (Item 9-2)

Certificates issued by the dealer/manufacturer certifying the mileage is accurate on each vehicle purchased by the state.

RETENTION

Record copy: Retain by Motor Pool Office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

GASOLINE SALES TICKETS (Item 9-3)

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

INSURANCE ADJUSTER'S ESTIMATES (Item 9-4)

Adjuster's reports on vehicle repair estimates following an accident.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MANUFACTURERS' STATEMENT OF ORIGINS (Item 9-5)

Verification by the manufacturer of the vehicles's manufactured origin.

RETENTION

Record copy: Retain by Motor Pool for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MOTOR POOL COST FILES (Item 9-6)

Motor pool vehicle ledgers and work sheets providing cost and expense data.

RETENTION

Record copy: Retain by Motor Pool for 5 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

MOTOR POOL PUBLIC EMPLOYEE OPERATIONAL FILES (Item 9-7)

Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.

RETENTION

Record copy: Retain by Motor Pool for 5 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MOTOR POOL RELEASE FILES (Item 9-8)

Records relating to the transfer, sale, donation, or exchange of state vehicles.

RETENTION

Record copy: Retain by Motor Pool for 5 years after vehicle leaves custody and then destroy.

Duplicate copies: Retain by agency for 1 year after vehicle leaves agency custody and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

MOTOR POOL VEHICLE MAINTENANCE FILES (Item 9-9)

Maintenance records, including those relating to service and repair of state vehicles.

RETENTION

Record copy: Retain by Motor Pool until obsolete
(usually for the lifetime of the vehicle)
and then destroy.

Duplicate copies: Retain by agency for 1 year and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MOTOR POOL VEHICLE OPERATIONS FILES (Item 9-10)

Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

RETENTION

Record copy: Retain by Motor Pool Office until
obsolete (usually for the lifetime of the
vehicle) and then destroy.

Duplicate copies: Retain for 3 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 9
MOTOR VEHICLE MAINTENANCE AND OPERATIONS RECORDS

VEHICLE REGISTRATION CERTIFICATES (Item 9-11)

Copies of legal registrations required by law to be maintained with each car.

RETENTION

Record copy: Retain by Motor Pool Office until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until vehicle is sold and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

VEHICLE REPAIR WORK ORDER (Item 9-12)

Requests to perform maintenance on a vehicle and the actual work performed.

RETENTION

Record copy: Retain by Motor Pool Office for 3 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

SCHEDULE 10
PAYROLL RECORDS

ADMINISTRATIVE PAYROLL REPORTS (Item 10-1)

Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA-63-2-301 (1)(b) (1992)

(Approved 07/90)

BUDGET AUTHORIZATION RECORDS (Item 10-2)

Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

SCHEDULE 10
PAYROLL RECORDS

DEDUCTIONS AND OTHER EARNING REGISTERS (Item 10-3)

Report by low organization number used to reference the amount of retirement deducted and other miscellaneous deductions.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

EMPLOYEE BENEFIT MATCHING MONEY REPORT (Item 10-4)

Listing of state matching funds paid to employee retirement and referenced by low organization number.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

FINAL TIME SUMMARY REPORT (Item 10-5)

This report provides information on the regular and overtime hours paid. It also includes all other earnings and the labor distribution.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

FULL-TIME EMPLOYEE REPORT (Item 10-6)

Report which informs users of the full-time equivalent count for each agency.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

GARNISHMENTS

(Item 10-7)

Record of garnishments or levies for debts owed by the employee.

RETENTION

Record copy: Retain by the Division of Finance for 3
years after end of garnishment and then
destroy.

Duplicate copies: Retain until end of garnishment and then
destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

INCOME TAX EXEMPTIONS AND WITHHOLDINGS CERTIFICATES

(Item 10-8)

Forms which record the number of exemptions an employee claims
against his payment of income tax and any additional withholding
from his paycheck, such as IRS Form W-4 and similar tax exemption
forms.

RETENTION

Record copy: Retain by the Division of Finance for 8
years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SCHEDULE 10
PAYROLL RECORDS

INSURANCE DEDUCTION FILES (Item 10-9)

Reports and related papers including copies of vouchers and schedules of payment pertaining to insurance deductions.

RETENTION

Record copy: Retain by the Division of Finance for 3 years after separation of employee and then destroy.

Duplicate copies: Retain until separation of employee and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

LEAVE ADJUSTMENT REPORTS (Item 10-10)

Shows all leave adjustments made during a pay period. Shows category of adjustment, the amount, social security number, and employee name.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

LEAVE APPLICATIONS

(Item 10-11)

Applications for leave and supporting papers relating to request for and approval of employee leave.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 10/01)

LEAVE CATEGORY CHANGES

(Item 10-12)

Report showing changes made if an employee does not have enough leave and payroll program must make adjustments from another category.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

LEAVE SUMMARY REPORT

(Item 10-13)

Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file.

RETENTION

Record copy: Retain until report is made part of
official agency personnel file.

Duplicate copies: Retain until administrative need ends and
then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

NOTICES OF PAYROLL ACTION (DHRM33)

(Item 10-14)

Notices which document all payroll actions entered into the
Department of Human Resource Management automated system.

RETENTION

Record copy: Retain by agency until notices are made
part of official agency personnel file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

PAYROLL REGISTER

(Item 10-15)

Display of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement.

RETENTION

Record copy: Retain by the Division of Finance for 4 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

PRELIMINARY PAYROLL FILES

(Item 10-16)

Computer-produced, two part documents sent by Finance to agencies to record final corrections or adjustments regarding employees' pay. They are made before the master payroll file is run and checks are issued. Preliminary payroll files do not serve as time and attendance records.

RETENTION

Record copy: Retain by Division of Finance for 1 year or until administrative need ends and then destroy.

Duplicate copies: Retain by agency for 3 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

RETIREMENT BENEFITS ASSISTANCE FILES (Item 10-17)

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.

RETENTION

Record copy: Retain by agency for 1 year and then transfer to Employee retirement file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

RETIREMENT FILES (Item 10-18)

Reports and register control documents relating to retirement.

RETENTION

Record copy: Retain by the Office of Retirement for 10 years after separation or termination and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

SCHEDULE 10
PAYROLL RECORDS

RETROACTIVE PAY REQUESTS FOR STATE EMPLOYEES (Item 10-27)

Records which document requests for retroactive payments to state employees, such as when a pay increase was not done in a timely manner. Information includes name, low organization number, social security number, effective date, number of regular hours, and new hourly rate. These records are kept for audit purposes. The actual retroactive payment is part of the master payroll files maintained by the Division of Finance.

RETENTION

Record copy: Retain by agency as part of employee's personnel file for 3 years and then destroy.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 08/96)

SAVINGS BOND PURCHASE FILES (Item 10-19)

Forms and reports with related records pertaining to deposits and purchase of bonds.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

SAVINGS BOND PURCHASE SUMMARY (Item 10-20)

List of all bond purchases and the remaining bond balances by low organization number.

RETENTION

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE SIX PLANNING REPORT (Item 10-21)

Compilation of position control files, which keep track of positions that have been authorized by the Department of Human Resource Management, used for budget justification and planning. Information includes number of positions and their cost.

RETENTION

Record copy: Retain by the Division of Finance for 3 years and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

SCHEDULE SIX POSITION CONTROL REPORTS (Item 10-22)

Reports which document the employee positions authorized by the Department of Human Resource Management that are actually filled and the amount of money spent. Information includes the amount paid to the employee, which is posted against the general ledger to position control. Also indicates the posted benefits. Information appears on Schedule Six.

RETENTION

Record copy: Retain by the Division of Finance for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE SIX POSTING PAYROLL REPORTS (Item 10-23)

Reports from the Division of Finance indicating the status of agency payroll transactions.

RETENTION

Record copy: Retain by the Division of Finance for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 10
PAYROLL RECORDS

TAXABLE WAGE EARNING REPORTS (Item 10-24)

Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports regarding income and social security taxes.

RETENTION

Record copy: Retain by the Division of Finance for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

TIME AND ATTENDANCE REPORTS (Item 10-25)

State employee time sheets, including flextime attendance reports, supplemental time and attendance records (such as sign-in/sign-out sheets), and work reports that are used for time accounting under flextime systems.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

SCHEDULE 11
HUMAN RESOURCE RECORDS

ADVERSE ACTION FILES

(Item 11-1)

Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction in force) against an employee. Includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal of records, excluding letters of reprimand.

RETENTION

Record copy: Retain by agency for 4 years after final action and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 06/96)

SCHEDULE 11 HUMAN RESOURCE RECORDS

AGENCY PERSONNEL FILES FOR PERMANENT EMPLOYEES

(Item 11-2)

Complete work history of an individual while employed by the State. Refer to UCA 67-18-1 (1999), et seq. and DHRM standards on accessing, maintaining, and managing employee personnel files. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. Includes application for employment or resume, verification of employment eligibility (I-9 form), and retirement/deferred compensation plan notification (ADNT-2), corrective or disciplinary actions taken against an employee, performance plans, performance evaluations, position description, career mobility or job swap agreement, insurance benefits notification (ADNT-1). May contain documentation on employee withholding, completion of course certificates, conflict of interest letters, incentive award results, employee awards, letters of commendation, leave records and leave adjustment reports.

RETENTION

Record copy: Retain by agency for 65 years from the date of employment or 3 years after retirement or death of the employee, whichever is earliest and then destroy (UCA 49-11-602 (2004)).

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (2004).

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (2004)

(Approved 07/04)

SCHEDULE 11
HUMAN RESOURCE RECORDS

AMERICANS WITH DISABILITIES ACT (ADA) REQUESTS FOR ACCOMMODATION (Item 11-58)

Requests made by an employee for disability accommodations. Includes medical data, accommodations requested, accommodations granted or denied, appeal of any denials, and other related information. For requests received from the public refer to Administrative Records--Americans with Disabilities Act (ADA) requests for accommodations for non-employees.

RETENTION

Record copy: Retain by agency for 5 years after termination or retirement and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (1996).

(Approved 06/97)

ANSWERS AND SCORE SHEETS (Item 11-4)

Tests taken by applicants who have met the minimum qualifications for a state position.

RETENTION

Record copy: Retain by Department of Human Resource Management until records are made part of candidate or agency personnel file.
(Note: some agencies have been officially delegated this responsibility by DHRM.).

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

CERTIFICATE OF ELIGIBLES FILES (Item 11-5)

This is a listing of all applicants who after careful review of their qualifications are then rated on their eligibility for a state position.

RETENTION

Record copy: Retain by the Department of Human Resource Management for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

CONFLICT OF INTEREST FILES (Item 11-6)

Correspondence from employees with part-time jobs stating that there is not a conflict of interest in the two vocations and work performance will not suffer as a result of the second job.

RETENTION

Record copy: Retain until reviewed and place in agency personnel file.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

COURSE ANNOUNCEMENT FILES (Item 11-7)

Reference files of pamphlets, notices, catalogs, and other records that provide information on courses or programs offered by government agencies or non-governmental organizations.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

DELEGATION AGREEMENTS (Item 11-52)

Documentation of personnel responsibilities with specific state agencies. Includes evaluations, correspondence, self-evaluation questionnaires, interviews, entrance/exit conferences, classification findings, organizational development, and other supporting documentation.

RETENTION

Record copy: Retain by Department of Human Resource Management upon receipt from agency for 5 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

DRUG TEST POSITIVE RESULTS (Item 11-55)

Records of employee drug or alcohol tests which were found to be positive. Includes the name of the employee, the type of test performed, date and location of the test, test results, name of the person performing the test, and any records relating to rehabilitation. In addition, the file may include the job title or a description of the employee's job duties and the disposition of the employee (e.g. termination or rehabilitation).

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302 (1996).

(Approved 06/96)

DRUG TEST NEGATIVE RESULTS (Item 11-56)

Records of employee drug or alcohol tests which were found to be negative. Includes the name of the employee, the type of test performed, date and location of the test, test results, and the person performing the test.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302 (1996).

(Approved 06/96)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EMPLOYEE ASSISTANCE FILES

(Item 11-8)

Files which document employees who have sought assistance for personal problems which interfere with job performance. Includes employee name, address, telephone number, date of birth, marital status, intake form, referral recommendations, type of referral, reasons for referral, need for counseling, and resources used for treatment.

RETENTION

Record copy: Retain for 3 years after case is closed and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Controlled: Psychiatric evaluations

(Approved 07/90)

EMPLOYEE AWARDS

(Item 11-9)

Case files which document all employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards within step range, merit increases, suggestions, and exceptional performance. These files may also document awards from other government agencies or private organizations.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 12/92)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EMPLOYEE PERFORMANCE-RELATED RECORDS (Item 11-30)

Records documenting performance of merit employees. Includes performance appraisals, job elements, standards used to base the appraisal, and other related records.

RETENTION

Record copy: Retain until reviewed and place in agency personnel file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

EMPLOYEE RECORD CARDS (Item 11-10)

Employee cards used for information purposes outside personnel offices.

RETENTION

Record copy: Retain by agency until separation or transfer of employee and then destroy.

Duplicate copies: Retain by agency until separation or transfer of employee and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EMPLOYEE TRAINING RECORDS (Item 11-11)

Correspondence, memoranda, reports and other records relating to the availability and employee participation in training programs sponsored by governmental agencies or non-governmental institutions. This information may also be entered into the Department of Human Resource Management automated system.

RETENTION

Record copy: Retain until made part of agency personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

EMPLOYMENT APPLICATIONS (NOT HIRED) (Item 11-12)

Applications of those persons qualified to be listed on a register but who were not selected as the candidate for employment. If DHRM has officially delegated a particular state agency as the record copy office then they should retain these applications for three years.

RETENTION

Record copy: Retain by the Department of Human Resource Management for 3 years and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302 (1)(e) (1992).

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 12/92)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION PLANS (Item 11-13)

Affirmative Action Plans (AAP) include both the agency copies of consolidated AAP's developed by the Department of Human Resource Management, and the agency feeder plans which are used to develop a larger affirmative action strategy.

RETENTION

Record copy: Retain by agency for 2 years and then
destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) COMPLIANCE REVIEW FILES (Item 11-14)

Review files containing background papers and other records relating to contractor employment practices.

RETENTION

Record copy: Retain by agency for 7 years and then
destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EQUAL EMPLOYMENT OPPORTUNITY (EEO) DISCRIMINATION COMPLAINT CASE FILES (Item 11-15)

Files documenting Equal Employment Opportunity complaints. Includes the complaint, correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other related records.

RETENTION

Record copy: Retain by agency for 4 years after resolution of case and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

EQUAL EMPLOYMENT OPPORTUNITY (EEO) STATISTICS FILES (Item 11-16)
Employment statistics relating to race and gender.

RETENTION

Record copy: Permanent. Retain by Department of Human Resource Management upon receipt from agency for 3 years and then transfer to the State Archives with authority to weed.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

EXEMPT-STATUS EMPLOYEES PERFORMANCE APPRAISALS (Item 11-17)
Appraisals of performance, along with job elements and standards (job expectations) upon which they are based, and supporting documentation.

RETENTION

Record copy: Retain by agency until superseded and then destroy.

Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

FAMILY MEDICAL LEAVE APPLICATIONS (Item 11-57)

Applications requesting leave under the Family and Medical Leave Act of 1993. Includes the employee's name, address and title and payroll information including rate of pay, daily and weekly hours worked, deductions, total compensation, dates leave is taken, information regarding employee benefits or employer leave policies and other related material as required by 29 CFR 825.500 (1995).

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Exempt: 29 CFR 825.500(g) (1995).

(Approved 06/96)

SCHEDULE 11
HUMAN RESOURCE RECORDS

FINANCIAL DISCLOSURE REPORTS (Item 11-18)

Reports and related documents submitted by individuals as required under the Public Officers' and Employees' Ethics Act, UCA 67-16-7.

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: If disclosure has no bearing on state employment

(Approved 07/90)

GRIEVANCE/APPEAL FILES (Item 11-19)

Records documenting employee grievances and related grievance hearings. Includes grievances filed by the employee, statements of witnesses, interview reports, findings and recommendations, exhibits, requests for consideration, and other related documents.

RETENTION

Record copy: Retain by agency for 4 years after case is closed and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 06/96)

SCHEDULE 11
HUMAN RESOURCE RECORDS

HUMAN RESOURCE MANAGEMENT RULES (Item 11-20)

Document which outlines policies and procedures to be followed by state agencies in the administration of the state human resource management system.

RETENTION

Record copy: Permanent. Retain by the Department of Human Resource Management until superseded and then transfer to State Archives with authority to weed.
Duplicate copies: Retain by agency until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

INCENTIVE AWARDS PROGRAM REPORTS (Item 11-21)

Reports pertaining to the operation of the incentive awards program.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11 HUMAN RESOURCE RECORDS

INDIVIDUAL HEALTH RECORD FILES (Item 11-22)

Records which contain such information as date of employee's visit to a health care facility, diagnosis, and treatment. A limited, but not exclusive list of items to be handled as medical information includes health, accident, and life insurance requests that contain medical information or questions; long-term disability insurance applications; Disabled Veterans DD2-14's; and medical reports from a doctor.

RETENTION

Record copy: Retain by agency's human resource office for 6 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Controlled: Psychiatric or psychological information,
UCA 63-2-302 (1996)

(Approved 07/90)

INTERVIEW RECORDS (Item 11-23)

Correspondence, reports, notes, and other records relating to interviews with prospective employees as described in 29 CFR 1602.31 (2000).

RETENTION

Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private: UCA 63-2-302(1)(f) and (2)(a)(2001).

SUGGESTED SECONDARY CLASSIFICATION

Protected: Interview notes UCA 63-2-304(25)(2001)

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

JOB SWAP OR CAREER MOBILITY FILES (Item 11-24)

Case files of a state employee applying to change positions with another employee in the state work force.

RETENTION

Record copy: Retain until made part of agency personnel file.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

LABOR-MANAGEMENT RELATIONS FILES (Item 11-25)

Records and case files of labor-management relations. Includes correspondence, memoranda, reports, and other records relating to the relationship between management and employee associations or other groups.

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

LENGTH OF SERVICE AND SICK LEAVE AWARD FILES (Item 11-26)

Records include correspondence, memoranda, reports, computations of service and sick leave, and lists of awardees. This information is entered into the Department of Human Resource Management automated system.

RETENTION

Record copy: Retain by agency as part of personnel file for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

LETTERS OF EMPLOYEE COMMENDATION (Item 11-27)

Letters of employee commendation and appreciation, recognizing length of service, retirement, or performance.

RETENTION

Record copy: Retain until made part of agency personnel file.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

MERIT EMPLOYEE APPRAISAL OF UNACCEPTABLE PERFORMANCE. (Item 11-28)

Appraisals of unacceptable performance and all related documents, except a Notice of Proposed Action for Unacceptable Employee Performance which is issued but not effected.

RETENTION

Record copy: Retain for 5 years as part of agency personnel file and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

MERIT EMPLOYEE PERFORMANCE FILES (Item 11-29)

Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

RETENTION

Record copy: Retain by agency as part of personnel file until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: Eighteen personal data elements identified by the State Records Committee

(Approved 07/90)

MERIT PROMOTION CASE FILES (Item 11-31)

Records relating to the promotion of an individual that document qualification standards or the evaluation of candidates, excluding any records that duplicate information in the performance plan or in other personnel records.

RETENTION

Record copy: Retain by agency as part of personnel file for 2 years after the personnel action or until the action has been audited by the Department of Human Resource Management, whichever is first, and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

NOTICE OF PROPOSED ACTION FOR UNACCEPTABLE EMPLOYEE PERFORMANCE (Item 11)

As part of a merit employee appraisal of unacceptable performance, a notice of proposed demotion or removal that is issued but not effected.

RETENTION

Retain by agency until decision is made to take no further action and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 10/01)

PERFORMANCE PLAN (Item 11-54)

Record of performance understanding completed between employee and supervisor. This is time-frame and quality-specific for the identified duties. Includes yearly goals and expectations of employee.

RETENTION

Record copy: Retain by agency for 10 years in employee's personnel file and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 08/96)

SCHEDULE 11
HUMAN RESOURCE RECORDS

PERSONAL INJURY CASE FILES (Item 11-35)

Documentation of on-the-job employee injuries whether or not a claim for compensation was filed. Includes first report of injury form, reports, correspondence, and related medical and investigative records.

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

POSITION ANALYSIS FORM (Item 11-53)

This analysis is completed by the employee and human resource staff and describes the duties and responsibilities of the individual employee. The analysis is used to express detailed information about the individual position compared to the general job description.

RETENTION

Record copy: Retain by agency for 5 years or longer in the employee's personnel file in accordance with agency policy and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 11
HUMAN RESOURCE RECORDS

POSITION CLASSIFICATION INSPECTION AND AUDIT FILES (Item 11-39)

Correspondence, memoranda, reports, and other records relating to inspections, desk audits, and evaluations of position classifications.

RETENTION

Record copy: Retain by Human Resource Management for 10 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 10/01)

POSITION MANAGEMENT REQUESTS (Item 11-37)

These documents are used to create new positions, abolish old positions, or change existing state employment positions. They include department/division name, effective date, justification statement, position control number, signature of Human Resource Analyst or Specialist, and any additional documentation that is provided such as organizational charts, performance plans, job descriptions/job analysis, position analysis, etc.

RETENTION

Record copy: Retain by Department of Human Resource Management upon receipt from agency for 10 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 02/05)

SCHEDULE 11
HUMAN RESOURCE RECORDS

RECRUITMENT FILES (Item 11-43)
Correspondence offering appointments to potential employees.
These files contain offers that are declined. Those offers
accepted will be maintained in the employee personnel file.

RETENTION
Retain by agency for 2 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Private.

(Approved 10/01)

REQUESTS FOR APPROVAL OF OVERTIME (Item 11-44)
Requests for approval, which is required by the Department of
Human Resource Management and Fair Labor Standards, for overtime
compensation.

RETENTION
Record copy: Retain by agency for 3 years and then
destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

STANDARDS OF CONDUCT FILES (Item 11-47)
Correspondence, memoranda, and other records relating to codes of
ethics and standards of conduct.

RETENTION
Record copy: Permanent. Retain by agency for 3 years
and then transfer to State Archives with
authority to weed.
Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

TEMPORARY EMPLOYEE PERSONNEL FILES (Item 11-3)

Documentation of employment of temporary state employees. May include correspondence, employment application, job description, etc. Does not include personnel records created for specific federal programs.

RETENTION

Record copy: Retain by agency for 2 years after separation and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 10/01)

TRAINING AIDS (Item 11-48)

One copy of each syllabus, manual, textbook, and any other training materials created by the agency.

RETENTION

Record copy: Permanent. Retain by agency until training program is obsolete and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

TRAINING CONFERENCE AND COURSES FILES (Item 11-49)

General file of agency-sponsored training. Includes correspondence, memoranda, agreements, authorizations, background and work papers, reports, requirements, reviews, plans, and objectives relating to operation of training courses and conferences.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

TRAINING CONTRACTS (Item 11-50)

Contracts between state agencies and the Department of Human Resource Management to administer agreed-upon training programs.

RETENTION

Record copy: Retain by the Department of Human Resource Management for 3 years after the end of contract and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 11
HUMAN RESOURCE RECORDS

VERIFICATION OF EMPLOYMENT ELIGIBILITY (Item 11-51)
Employment documentation required to comply with the Immigration
Reform and Control Act, 1986.

RETENTION

Record copy: Retain until made part of agency
personnel file.

Duplicate copies: Retain for 1 year after termination and
then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1)(b) (1992)

(Approved 07/90)

SCHEDULE 12
PRINTING RECORDS

SCHEDULE 12
PRINTING RECORDS

CONTROL FILES (Item 12-1)
Control registers pertaining to requisitions and work orders for printing, binding and duplicating services.

RETENTION
Record copy: Retain for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

PLATE, NEGATIVES, AND ART WORK FILES (Item 12-2)
Basic information and materials used to produce a printing request.

RETENTION
Record copy: Retain until administrative need ends and then destroy.
Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

PRINTING PROJECT FILES (Item 12-3)
Job or project records containing papers and data pertaining to planning and execution of printing, binding, duplication, and distribution jobs.

RETENTION
Record copy: Retain for 2 years and then destroy.
Duplicate copies: Retain for 1 year after completion of job and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

SCHEDULE 12
PRINTING RECORDS

PRINTING REPORT FILES

(Item 12-4)

Reports to the Legislature regarding operation of printing and inventories of printing, binding and related equipment in printing or in storage.

RETENTION

Record copy: Retain for 5 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

SCHEDULE 13
PURCHASING RECORDS

BIDDERS LIST OR CARD FILES (Item 13-1)
Lists of acceptable bidders who are eligible for contracting with the State to provide products or services.

RETENTION

Record copy: Retain by the Division of Purchasing for 1 year and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CANCELED SOLICITATION FILES (Item 13-2)
Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to the awarding of a contract. Information includes presolicitation documentation on the requirement, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and evidence of cancellation.

RETENTION

Record copy: Retain for 4 years after cancellation and then destroy.

Duplicate copies: Retain for 2 years after cancellation and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

CONTRACT APPEALS CASE FILES (Item 13-3)

Case files consisting of notices of appeal and acknowledgments, correspondence between parties, contracts copies, plans, specifications, exhibits, change orders and amendments, transcripts of hearings, documents received from parties concerned, final decisions, and other related records.

RETENTION

Record copy: Permanent. Retain by the Division of Purchasing for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain for 10 years after final action or decision and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CONTRACT PURCHASING FILES (Item 13-4)

Files which document transactions of \$10,000 or less and construction contracts under \$2,000. They include contract, requisition, purchase order and lease records, correspondence, related records pertaining to award, administration, receipt, inspection, and payments.

RETENTION

Record copy: Retain by agency for 6 years after final payment and then destroy.

Duplicate copies: Retain by agency for 1 year after termination or completion of contract and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

SCHEDULE 13
PURCHASING RECORDS

CONTRACT PURCHASING FILES FOR HIGH-VALUE TRANSACTIONS

(Item 13-5)

Files which document transactions of more than \$10,000 and construction contracts exceeding \$2,000. The files include contract, requisition, purchase order and lease records, correspondence and related records pertaining to award, administration, receipt, inspection, and payments.

RETENTION

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain until contract termination or completion and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

CONTRACTOR'S PAYROLL FILES

(Item 13-6)

Contractor's payrolls (construction contracts) with related certifications, anti-kickback affidavits, and other related records.

RETENTION

Record copy: Retain for 3 years after completion of contract or until final audit and then destroy.

Duplicate copies: Retain for 1 year after last payment and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Public: UCA 63-2-301 (1992)

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

LEASING CONTRACT FILES

(Item 13-7)

Building or equipment leases and related records documenting agreements, services, and payments.

RETENTION

Record copy: Retain for 4 years after contract expires and then destroy.

Duplicate copies: Retain for 1 year after last payment and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PROFESSIONAL CONTRACTUAL AGREEMENT FILES

(Item 13-8)

Files documenting the professional contractual agreements between an agency and a professional individual, or between agencies for temporary services. The files include contract, requisition, purchase order, correspondence, and related records.

RETENTION

Record copy: Retain for 5 years after last payment and then destroy.

Duplicate copies: Retain for 3 years after last payment and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PURCHASE ORDERS (FI-8)

(Item 13-9)

Orders used to document the purchase transaction and to notify the agency of purchase approval.

RETENTION

Record copy: Retain by the Division of Purchasing upon receipt from agency for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

(Approved 10/01)

SCHEDULE 13
PURCHASING RECORDS

PURCHASE REQUISITION FILES (FI-1) (Item 13-10)
Requisitions for supplies and equipment for current inventory.

RETENTION

Record copy: Retain by the Division of Purchasing upon receipt from agency for 4 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 10/01)

REAL PROPERTY ACQUISITION FILES (Item 13-11)
Title papers documenting the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.

RETENTION

Record copy: Retain for 10 years after unconditional sale of property and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

SUCCESSFUL BIDS AND PROPOSALS FILES (Item 13-12)

Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.

RETENTION

Record copy: Retain by the Division of Purchasing for 4 years and then destroy.

Duplicate copies: Retain until related contractual case file has met retention and can be destroyed, and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SUPPLY MANAGEMENT FILES (Item 13-13)

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

RETENTION

Record copy: Retain for 2 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

TAX EXEMPTION FILES (Item 13-14)

Tax exemption certificates and related records.

RETENTION

Record copy: Retain for 3 years after period covered by related account and then destroy.

Duplicate copies: Retain for 1 year after period covered by related account and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 13
PURCHASING RECORDS

UNOPENED BIDS AND PROPOSALS (Item 13-15)

Solicited and unsolicited bids and proposals to provide products or services which, due to funding or administrative reevaluation, are no longer required by the agency or will not be open to the bidding process.

RETENTION

Record copy: Retain for 1 year and then destroy.

Duplicate copies: Retain until returned to bidder.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

UNSUCCESSFUL BIDS AND PROPOSALS FILES (Item 13-16)

Solicited and unsolicited unsuccessful bids and proposals to provide products or services to an agency by a private contractor.

RETENTION

Record copy: Retain by the Division of Purchasing for 2 years and then destroy.

Duplicate copies: Retain until related contractual case files have met retention and can be destroyed.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 14
PROPERTY RECORDS

SCHEDULE 14
PROPERTY RECORDS

DECLARATION OF SURPLUS PROPERTY (SP-1) (Item 14-1)

Form required by the Division of Surplus Property indicated what property an agency wishes to surplus.

RETENTION

Record copy: Retain for 3 years after final disposition of property and then destroy.

Duplicate copies: Retain until property is sold or destroyed, and then destroy the record.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PROPERTY DISPOSAL CASE FILES (Item 14-2)

Case files on the disposal of real and related personal surplus property.

RETENTION

Record copy: Retain for 6 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 14
PROPERTY RECORDS

REAL PROPERTY SALE FILES (Item 14-3)

Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership.

RETENTION

Record copy: Permanent. Retain by agency for 6 years after a deed of sale is recorded and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SURPLUS PROPERTY CASE FILES (Item 14-4)

Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.

RETENTION

Record copy: Retain for 6 years and then destroy.

Duplicate copies: Retain for 2 years or until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

SUGGESTED SECONDARY CLASSIFICATION

Private: Name, phone number, and address of customer

(Approved 07/90)

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

AGENCY COMMENDATION FILES

(Item 15-1)

Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in an individual's personnel file.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

COMPLAINT/INFORMANT FILES

(Item 15-2)

Whistle-blower, fraud, and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of an investigation or from which administrative action was taken, and those incorporated into individual personnel files.

RETENTION

Record copy: Retain by agency for 7 years after final resolution and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

SUGGESTED SECONDARY CLASSIFICATION

Controlled: UCA 63-2-304 (2)(a) (1992)

(Approved 07/90)

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

INDEXES AND CHECK LISTS

(Item 15-3)

Bibliographies, check lists, and indexes of agency publications and news releases, except those used as indexes to public relations files.

RETENTION

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

INFORMATION PROJECT FILES

(Item 15-7)

Informational services project case files maintained in formally designated information offices.

RETENTION

Record copy: Retain for 1 year after close of file or completion of project and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 15
PUBLIC AFFAIRS RECORDS

PRESS RELEASES

(Item 15-8)

A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.

RETENTION

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

PUBLIC RELATIONS FILES

(Item 15-10)

Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, etc.

RETENTION

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 10 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

SCHEDULE 16
SECURITY SERVICES RECORDS

DEPARTMENTAL RECOVERY REPORTS (Item 16-1)

Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.

RETENTION

Record copy: Permanent. Retain by the Division of Risk Management until superseded or obsolete and then transfer to State Archives with authority to weed.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

DISASTER PLANNING FILES (Item 16-2)

Files used to prepare statewide plans for action to address an emergency, e.g. fire, flood, earthquake, and other disasters.

RETENTION

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives with authority to weed.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

GUARD ASSIGNMENT FILES

(Item 16-3)

Files relating to guard assignments. Includes ledger records or requests, analyses, reports, change notices, and other papers relating to post assignments.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

GUARD SERVICE CONTROL FILES

(Item 16-4)

Control center key or code records, emergency call cards, building record, and employee identification cards.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (10) (1992).

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

GUARD SERVICE REPORTS (Item 16-5)

Round reports, facility checks, service reports on interruptions and tests, punch clock dial sheets, automatic machine patrol charts, and registers of patrol and alarm services.

RETENTION

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (10) (1992).

(Approved 07/90)

INSURANCE REPORTS (Item 16-6)

Reports used for the reference and generation of claims files.

RETENTION

Record copy: Retain by the Division of Risk Management for 12 years and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (23) (1992).

(Approved 07/90)

KEY ACCOUNTABILITY FILES (Item 16-7)

Files relating to accountability for keys issued, including keys to maximum security areas.

RETENTION

Record copy: Retain by agency for 2 years after superseded and then destroy.

Duplicate copies: Retain by agency for 1 month after superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

LIABILITY INSURANCE POLICY FILES (Item 16-8)
Insurance policy contracts between the State of Utah and private insurers.

RETENTION
Record copy: Permanent. Retain by the Division of Risk Management.
Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

LIABILITY RISK MANAGEMENT CASE FILES (Item 16-9)
Case files of the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities.

RETENTION
Record copy: Retain by the Division of Risk Management for 20 years and then destroy.
Duplicate copies: Retain for 5 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Protected: UCA 63-2-304 (10) (1992).

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

LOSS CONTROL INSPECTION REPORTS (Item 16-10)

An annual self-inspection report used to identify potential hazards within the building or on the agency property. If the agency completes this report, it may receive a 15% discount on its insurance premium after a follow-up survey has been conducted. This record may also be used as evidence in defense of a claim.

RETENTION

Record copy: Retain by the Division of Risk Management for 12 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Protected: UCA 63-2-304 (23) (1992).

(Approved 07/90)

PERSONNEL SECURITY CLEARANCE STATUS FILES (Item 16-11)

Lists of rosters showing the current security clearance status of individuals.

RETENTION

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

PROPERTY INSURANCE POLICY FILES (Item 16-12)

Insurance policy contracts between the State of Utah and private insurers.

RETENTION

Record copy: Retain by the Division of Risk Management for 75 years and then destroy.

Duplicate copies: Retain for 4 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Public.

(Approved 07/90)

SECURITY LOGS AND REGISTERS - INDIVIDUAL GUARD POSTS (Item 16-13)

Individual guard post logs of occurrences.

RETENTION

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SECURITY LOGS AND REGISTERS - MASTER OFFICE. (Item 16-14)

Central guard logs which are compiled from individual guard post logs of occurrences.

RETENTION

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION

Private.

(Approved 07/90)

SCHEDULE 16
SECURITY SERVICES RECORDS

VISITOR CONTROL FILES (Item 16-15)
Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.

RETENTION
Record copy: Retain by agency for 2 years and then destroy.
Duplicate copies: Retain by agency for 1 year and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Public.

(Approved 07/90)

VISITOR CONTROL FILES FOR AREAS OF MAXIMUM SECURITY (Item 16-16)
Registers or logs used to record names of visitors who are admitted to areas of maximum security.

RETENTION
Record copy: Retain by agency for 5 years and then destroy.
Duplicate copies: Retain by agency for 3 years and then destroy.

SUGGESTED PRIMARY CLASSIFICATION
Private.

(Approved 07/90)